



# APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

**INSTRUCTIONS:** See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Office of Secretary of State Georgia Real Estate Commission 40 Pryor Street Atlanta, Georgia	Application Number <b>81-412</b>	
Application Number		Date Received <b>OCT 1 1981</b>	Date Completed <b>OCT 15 1981</b>
2. Person to Contact Charles Clark		Working Title Commissioner	Telephone Number 656-3916
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest      Latest <b>1979</b> -		5. Records Series Title (followed by title used in office, if different) Real Estate Commission Recovery Fund Claim Files	
6. Division and Office Function      What is the function of the Division and the Office in which this record series is created?  The individual examining and licensing Boards establish policy governing the requirements for licensing where policy is not contained in law. They collect fees from applicants for licenses and for examinations and conduct examinations. They determine whether applicants have in fact met educational or on-the-job training requirements. The Boards issue and revoke licenses and maintain records to certify that licensees are in fact properly licensed. The Boards enforce a professional code of ethics by receiving complaints, performing investigations and presenting evidence to support or refute allegations against a licensee.			
7. Record Series Description      This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.  Documents relating to: documenting and maintaining claims filed as compensation for damages due to misconduct by a duly licensed broker, associate broker, or salesperson.  Included are: "Recovery Fund Claim Checklist," citing status of claim and result of claim.          File is arranged: numerically by case no.			
8. Monthly Reference Rate      How often are records referred to which are: One to six months old <u>5</u> ; Seven to twelve months old <u>3</u> ; Thirteen to twenty-four months old <u>2</u> ; twenty-five months and older <u>1</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers <u>1</u> ; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

† The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	_____ 1 _____ years.
b. Statute of limitation	_____ years.	e. Administrative need	_____ 1 _____ years.
c. Federal law	_____ years.	f. Federal retention instructions	_____ years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

Ga. Codes; Section 84-1424

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☒ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ 2 \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy.
- ☒ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

The Commission is directed by law to maintain a "recovery fund" and supporting documentation necessary to administer this fund. The Commissioner feels this retention is adequate to satisfy periodic audits and to support the investigation and hearings files.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>[Signature]</i>	9-30-81	<i>George M. Scott</i>	9-28-81
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>[Signature]</i>	10-6-81
State Auditor/Designee		<i>Carroll Hart</i>	10-5-81
Secretary of State/Designee		<i>[Signature]</i>	10-14-81
Attorney General/Designee			